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| MARSHALL, GERSTEIN & BORUN LLP (MICROSOFT) 233 SOUTH WACKER DRIVE 6300 SEARS TOWER | | | LAZARO, | LAZARO, DAVID R | |
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Please find below and/or attached an Office communication concerning this application or proceeding.

| | Application No. | Applicant(s) | |
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| | 09/490,981 | RAGHURAMAN ET AL. | |
| Office Action Summary | Examiner | Art Unit | |
| | David Lazaro | 2155 | |
| The MAILING DATE of this communication app Period for Reply | ears on the cover sheet with the c | orrespondence address | |
| A SHORTENED STATUTORY PERIOD FOR REPLY THE MAILING DATE OF THIS COMMUNICATION. - Extensions of time may be available under the provisions of 37 CFR 1.13 after SIX (6) MONTHS from the mailing date of this communication. - If the period for reply specified above is less than thirty (30) days, a reply If NO period for reply is specified above, the maximum statutory period we failure to reply within the set or extended period for reply will, by statute, Any reply received by the Office later than three months after the mailing earned patent term adjustment. See 37 CFR 1.704(b). | i6(a). In no event, however, may a reply be time within the statutory minimum of thirty (30) days ill apply and will expire SIX (6) MONTHS from cause the application to become ABANDONE | nely filed s will be considered timely. the mailing date of this communication. O (35 U.S.C. § 133). | |
| Status | | | |
| 1) Responsive to communication(s) filed on 10 Ma 2a) This action is FINAL. 2b) This 3) Since this application is in condition for allowant closed in accordance with the practice under E | action is non-final. ace except for formal matters, pro | | |
| Disposition of Claims | | | |
| 4) ⊠ Claim(s) 1-22 and 24 is/are pending in the appl 4a) Of the above claim(s) is/are withdraw 5) □ Claim(s) is/are allowed. 6) ⊠ Claim(s) 1-22 and 24 is/are rejected. 7) □ Claim(s) is/are objected to. 8) □ Claim(s) are subject to restriction and/or | vn from consideration. | | |
| Application Papers | | | |
| 9) The specification is objected to by the Examiner 10) The drawing(s) filed on is/are: a) access Applicant may not request that any objection to the of Replacement drawing sheet(s) including the correction of the oath or declaration is objected to by the Examiner | epted or b) objected to by the Edrawing(s) be held in abeyance. See on is required if the drawing(s) is obj | e37 CFR 1.85(a). ected to. See 37 CFR 1.121(d). | |
| Priority under 35 U.S.C. § 119 | | | |
| 12) ☐ Acknowledgment is made of a claim for foreign a) ☐ All b) ☐ Some * c) ☐ None of: 1. ☐ Certified copies of the priority documents 2. ☐ Certified copies of the priority documents 3. ☐ Copies of the certified copies of the priority application from the International Bureau * See the attached detailed Office action for a list of | s have been received. s have been received in Application ity documents have been received (PCT Rule 17.2(a)). | on No d in this National Stage | |
| Attachment(s) 1) Notice of References Cited (PTO-892) 2) Notice of Draftsperson's Patent Drawing Review (PTO-948) 3) Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) Paper No(s)/Mail Date 3/15/05. | 4) Interview Summary Paper No(s)/Mail Da 5) Notice of Informal Pa 6) Other: | | |

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DETAILED ACTION

1. This Office Action is in response to the amendment filed 05/10/05.

- 2. Claim 10 was amended.
- 3. Claim 23 is canceled.
- 4. Claims 1-22 and 24 are pending in this office action.

Response to Amendment/Arguments

- 5. Applicant's arguments filed 05/10/05, with respect to the rejection(s) of claim(s) 1-22 and 24 under 102(e) and 103(a) have been fully considered and are persuasive.

 Therefore, the rejection has been withdrawn. However, upon further consideration, a new ground(s) of rejection is made in view of U.S. Patent 5,958,010 by Agarwal and Agarwal in view of U.S. Patent 5,978,849 by Khanna.
- 6. The rejection of Claims 4-6, 10, 15, 17, and 18 under 35 U.S.C. 102(e) as anticipated by U.S. Patent 6,269,410 by Spasojevic is also presented based on the examiner's review of the affidavit of record filed 07/09/04. See 'Declaration under 37 CFR 1.131' section for details.
- 7. The IDS filed 03/15/05 has been considered by the examiner.

Declaration under 37 CFR 1.131

8. The declaration filed on 07/09/04 under 37 CFR 1.131 has been considered but is ineffective to overcome the Spasojevic (U.S. Patent 6,269,410). While the previous examiner or record accepted the declaration, the current examiner of record, upon

review of the prosecution history, has deemed such acceptance to be in error in regards to the standard practices of the Office. The declaration is ineffective for the following reasons:

I. Ways to show prior inventorship:

a. Applicants do not state how they are trying to establish prior inventorship in accordance with 37 CRF 1.131(b). A sufficient declaration must clearly state how the applicants are establishing prior inventorship in accordance with 37 CFR 1.131(b) and described in MPEP 715.07, "THREE WAYS TO SHOW PRIOR INVENTORSHIP". Additional requirements (for example, diligence) may be necessary depending on the way applicants are establishing prior inventorship. See MPEP 715.07 for complete details. Since applicants have not provided evidence of diligence, the examiner assumes the applicants are relying on the exhibits to establish Reduction to Practice.

II. Reduction to Practice:

b. Applicant attempts to establish prior invention by showing Reduction to Practice of the invention prior to the February 12, 1999, the effective filing date of Spasojevic. MPEP 715.07, 'GENERAL REQUIREMENTS' states "FACTS, not conclusions, must be alleged," and "A general allegation that the invention was completed prior to the date of the reference is not sufficient. Ex parte Saunders, 1883 C.D. 23, 23 O.G. 1224 (Comm'r Pat. 1883). Similarly, a declaration by the inventor to the effect that his or her invention was conceived or reduced to

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practice prior to the reference date, without a statement of facts demonstrating the correctness of this conclusion, is insufficient to satisfy 37 CFR 1.131." In paragraphs 4-5 of the declaration, applicants refer to an article written prior to the critical date which applicants alleges amounts to a reduction to practice of the invention. In particular, paragraph 4 of the declaration states:

- 4. Attachment A is a printout of an article entitled, "Network Performance Monitoring in Windows NT," dated bearing a copyright date of 1997 and authored by us. The article describes every element of claim 1-22 and 24, which are the claims presently pending in the application.
 - c. This statement amounts to mere pleading, as Applicants provide no factual evidence to support such an allegation. MPEP 715.07, 'GENERAL REQUIREMENTS', specifically states, "Vague and general statements in broad terms about what the exhibits describe along with a general assertion that the exhibits describe reduction to practice "amounts essentially to mere pleading, unsupported by proof or a showing of facts" and, thus, does not satisfy the requirements of 37 CFR 1.131(b)...Applicant must give a clear explanation of the exhibits pointing out exactly what facts are established and relied on by applicant." Applicants have not provided a clear explanation of Attachment A. Attachment A also contains handwritten notations and markings not commented on by the Applicant. It is not made clear who made these handwritten marks and if they were also made prior to February 12, 1999.

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d. Proof of actual reduction to practice requires a showing that the apparatus actually existed and worked for its intended purpose. A written description does not constitute an actual reduction to practice. Furthermore, only the filing of a US patent application, which complies with the disclosure requirement of 35 USC § 112, constitutes a constructive reduction to practice. A written description, no matter how complete, does not qualify as an actual reduction to practice.

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e. Accordingly, applicant has not established prior invention. The Spasojevic reference is considered to be a valid prior art reference and is still considered relevant to Claims 4-6, 10, 15, 17, and 18 under 35 U.S.C. 102(e).

Claim Objections

9. Claim 3 is objected to because of the following informalities: In line 2, it appears "o" should be "or". Appropriate correction is required.

Claim Rejections - 35 USC § 102

10. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless -

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

- 11. Claims 1-6, 10-18, 21, 22 and 24 are rejected under 35 U.S.C. 102(e) as being anticipated by U.S. Patent 5,958,010 by Agarwal et al. (Argawal).
- 12. With respect to Claim 1, Argawal teaches a method of tracing data traffic on a network, the method comprising: at the transport layer of a protocol stack residing on a first device in the network (Col. 9 lines 1- 25), detecting a transmission or receipt of data to or from a second device on the network (Col. 9 lines 1-25 and Col. 8 lines 3-26); and in response to the transmission or receipt being detected, recording the transmission or receipt as an entry in a trace log (Col. 5 lines 39-55 and Col. 8 lines 27-53), wherein the trace log is accessible to determine the volume of data traveling over a network (Col. 5 lines 39-55).
- 13. With respect to Claim 2, Argawal teaches all the limitations of Claim 1 and further teaches wherein the protocol stack is a TCP/IP stack (Col. 9 lines 1-25).
- 14. With respect to Claim 3, Argawal teaches all the limitations of Claim 1 and further teaches the detection step further comprises the step of detecting the presence of an input/output packet representing the transmission or receipt (Col. 9 lines 1-25 and Col. 8 lines 27-53).
- 15. With respect to Claim 4, Argawal teaches a method of tracing a transmission of data over a computer network comprising: detecting a transport-layer request to transmit an input/output packet (Col. 9 lines 1-25 and Col. 8 lines 3-26); searching the input/output packet to determine an identity of a process that created the input/output packet (Col. 6 lines 10-30, Col. 7 lines 34-45, and Col. 8 lines 27-66); and storing in a trace log an entry representing the request, wherein the entry comprises the identity of

the process, and wherein the trace log is accessible to determine a volume of data being transmitted over the network (Col. 5 lines 39-55, Col. 6 lines 10-30, Col. 7 lines 34-45, and Col. 8 lines 27-66).

- 16. With respect to Claim 5, Argawal teaches all the limitations of Claim 4 and further teaches detecting an acknowledgement of the transmission (Col. 9 lines 1-25 and Col. 8 lines 3-26); and in response to the detection of the acknowledgement, storing in the trace log an entry representing the completion of the transmission (Col. 5 lines 39-55 and Col. 8 lines 27-66).
- 17. With respect to Claim 6, Argawal teaches a method of tracing a receipt of data from a computer network comprising: detecting a transport-layer request to transmit a packet for an input/output connection to a port (Col. 9 lines 1-25 and Col. 8 lines 3-26: a port connection is inherent in TCP); searching the packet to determine an identity of a process that created the packet (Col. 6 lines 10-30, Col. 7 lines 34-45, and Col. 8 lines 27-66); and in response to the detection of a receipt of data at the port, storing in a trace log an entry representing the receipt of the data, wherein the entry comprises the process identification, , and wherein the trace log is accessible to determine a volume of data being transmitted over the network (Col. 5 lines 39-55, Col. 6 lines 10-30, Col. 7 lines 34-45, and Col. 8 lines 27-66).
- 18. With respect to Claim 10, Argawal teaches a facility for tracing data traffic on a network at the transport layer, the facility comprising: an identifying means for identifying a process causing a transport-layer request to transmit data via the network (Col. 6 lines 10-30, Col. 7 lines 34-45, and Col. 8 lines 27-66); and a logging means in

communication with the identifying means for logging an event, wherein the event comprises the identification the process and wherein the logging means is useable to determine a volume of data traveling over the network (Col. 5 lines 39-55, Col. 6 lines 10-30, Col. 7 lines 34-45, and Col. 8 lines 27-66).

- 19. With respect to Claim 11, Argawal teaches all the limitations of Claim 10 and further teaches the identifying means further comprises means for communicating with a transport layer of a protocol stack (Col. 9 lines 1-25 and Col. 8 lines 3-26).
- 20. With respect to Claim 12, Argawal teaches a computer readable medium having stored thereon computer executable instructions for performing steps comprising: at the transport layer of a protocol stack residing on a first device in the network (Col. 9 lines 1-25), detecting a transmission or receipt of data to or from a second device on the network (Col. 9 lines 1-25 and Col. 8 lines 3-26); and in response to the transmission or receipt being detected, recording the transmission or receipt as an entry in a trace log (Col. 5 lines 39-55 and Col. 8 lines 27-53), wherein the trace log is accessible to determine the volume of data traveling over a network (Col. 5 lines 39-55).
- 21. With respect to Claim 13, Argawal teaches all the limitations of Claim 12 and further teaches wherein the protocol stack is a TCP/IP stack (Col. 9 lines 1-25).
- 22. With respect to Claim 14, Argawal teaches all the limitations of Claim 12 and further teaches having further computer executable instructions for performing the step of detecting the presence of an input/output packet representing the transmission or receipt (Col. 9 lines 1-25 and Col. 8 lines 27-53).

- 23. With respect to Claim 15, Argawal teaches a computer readable medium having stored thereon computer executable instructions for performing steps comprising: detecting a transport-layer request to transmit an input/output packet (Col. 9 lines 1-25 and Col. 8 lines 3-26); searching the input/output packet to determine an identity of a process that created the input/output packet (Col. 6 lines 10-30, Col. 7 lines 34-45, and Col. 8 lines 27-66); and storing in a trace log an entry representing the request, wherein the entry comprises the identity of the process, and wherein the trace log is accessible to determine a volume of data being transmitted over the network (Col. 5 lines 39-55, Col. 6 lines 10-30, Col. 7 lines 34-45, and Col. 8 lines 27-66).
- 24. With respect to Claim 16, Argawal teaches all the limitations of Claim 15 and further teaches having further computer-executable instructions for performing the step of detecting the presence of the input/output packet at the transport layer of a protocol stack (Col. 9 lines 1-25 and Col. 8 lines 27-53).
- 25. With respect to Claim 17, Argawal teaches all the limitations of Claim 15 and further teaches having further computer-executable instructions for performing the step of detecting an acknowledgement of the transmission (Col. 9 lines 1-25 and Col. 8 lines 3-26); and in response to the detection of the acknowledgement, storing in the trace log an entry representing the completion of the transmission (Col. 5 lines 39-55 and Col. 8 lines 27-66).
- 26. With respect to Claim 18, Argawal teaches a computer readable medium having stored thereon computer executable instructions for performing steps comprising: detecting a transport-layer request to transmit a packet for an input/output connection to

a port (Col. 9 lines 1-25 and Col. 8 lines 3-26); searching the packet to determine an identity of a process that created the packet (Col. 6 lines 10-30, Col. 7 lines 34-45, and Col. 8 lines 27-66); and in response to the detection of a receipt of data at the port, storing in a trace log an entry representing the receipt of the data, wherein the entry comprises the process identification, , and wherein the trace log is accessible to determine a volume of data being transmitted over the network (Col. 5 lines 39-55, Col. 6 lines 10-30, Col. 7 lines 34-45, and Col. 8 lines 27-66).

- 27. With respect to Claim 21, Argawal teaches all the limitations of Claim 18 and further teaches having further computer-executable instructions for performing the steps of: detecting the presence of an input/output request packet indicating that the data receipt is complete (Col. 9 lines 1-25 and Col. 8 lines 3-26); and in response to the detection of the completion input/output request packet, storing in the trace log an entry representing the receipt of the data (Col. 5 lines 39-55 and Col. 8 lines 27-66).
- 28. With respect to Claim 22, Argawal teaches all the limitations of Claim 1 and further teaches wherein the transmission of data is recorded at the completion of the transmission indicated by an acknowledgment from the first device (Col. 9 lines 1-25 and Col. 8 lines 3-26).
- 29. With respect to Claim 24, wherein the identity of the process includes a port number of an IP address relating to the transmission (Col. 8 lines 27-66).
- 30. Claims 4-6, 10, 15, 17, and 18 are rejected under 35 U.S.C. 102(e) as being anticipated U.S. Patent 6,269,410 by Spasojevic (Spasojevic).

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31. With respect to Claim 4, Spasojevic teaches a method of tracing a transmission of data Over a Computer network comprising: detecting a transport-layer request to transmit an input/output packet (col.3, line 54 - col. 4, line 47, 'request returns from disk'); searching the input/output request packet (col. 4, lines 33-47); and storing in a trace log an entry representing the request (column 5, lines 12-27), wherein the entry comprises the identity of the process (column 4, line 47), and wherein the trace log is accessible to determine the volume of data traveling over a network (column 5, line 3 - column 6, line 8).

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- 32. With respect to Claim 5, Spasojevic teaches all the limitations of Claim 4 and further teaches detecting an acknowledgement of transmission (col.4, lines 35-40); and in response to the detection of the acknowledgement, storing in the trace log an entry representing the completion of the transmission (Col. 4 lines 35-40 that the completion time is recorded "when the request returns from the disk". This shows that completion is acknowledged and recorded).
- 33. With respect to Claim 6, Spasojevic teaches a method of tracing a receipt of data from a computer network comprising: detecting a transport-layer request to transmit a packet for an input/output connection to a port (col. 3, line 54 col. 4 line 47 'request returns from disk'); searching the packet to determine an identity of a process that created the packet (col. 4 line 47); and in response to the detection of a receipt of data at the port, storing in a trace log an entry representing the receipt of the data (Col. 5 lines 12-27), wherein the entry comprises the process identification, and wherein the

trace log is accessible to determine a volume of data being transmitted over the network (Col. 5 line 3 - Col. 6 line 8).

- 34. With respect to Claim 10, Spasojevic teaches a facility for tracing data traffic on a network at the transport layer, the facility comprising: an identifying means for identifying a process causing a transport-layer request to transmit data via the network (Col. 3 line 54 Col. 4 line 47); and a logging means in communication with the identifying means for logging an event, wherein the event comprises the identification the process and wherein the logging means is useable to determine a volume of data traveling over the network (Col. 5 line 3 Col. 6 line 8).
- 35. With respect to Claim 15, Spasojevic teaches a computer readable medium having stored thereon computer executable instructions for performing steps comprising: detecting a transport-layer request to transmit an input/output packet (col.3, line 54 col. 4, line 47, 'request returns from disk'); searching the input/output packet to determine an identity of a process that created the input/output packet (col. 4, lines 33-47); and storing in a trace log an entry representing the request (column 5, lines 12-27), wherein the entry comprises the identity of the process (column 4, line 47), and wherein the trace log is accessible to determine a volume of data being transmitted over the network (column 5, line 3 column 6, line 8).
- 36. With respect to Claim 17, Spasojevic teaches all the limitations of Claim 15 and further teaches having further computer-executable instructions for performing the step of detecting an acknowledgement of transmission (col.4, lines 35-40); and in response to the detection of the acknowledgement, storing in the trace log an entry representing

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the completion of the transmission (Col. 4 lines 35-40 that the completion time is recorded "when the request returns from the disk". This shows that completion is acknowledged and recorded).

37. With respect to Claim 18, Spasojevic teaches a computer readable medium having stored thereon computer executable instructions for performing steps comprising: detecting a transport-layer request to transmit a packet for an input/output connection to a port (Col. 3 line 54 - Col. 4 line 47, 'request returns from disk'); searching the packet to determine an identity of a process that created the packet (Col. 4 line 47); and in response to the detection of a receipt of data at the port, storing in a trace log an entry representing the receipt of the data (Col. 5 lines 12-27), wherein the entry comprises the process identification, and wherein the trace log is accessible to determine a volume of data being transmitted over the network (Col. 5 line 3 - Col. 6 line 8).

Claim Rejections - 35 USC § 103

- 38. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:
 - (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.
- 39. Claims 7-9, 19 and 20 are rejected under 35 U.S.C. 103(a) as being unpatentable over Argawal in view of U.S. Patent 5,978,849 by Khanna (Khanna).

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40. With respect to Claim 7, Argawal teaches creating a connection object representing the opening of the port connection by the process (Col. 9 lines 1-25 and Col. 8 lines 3-26) and in response to the detection of the receipt of data at the port, copying the process identification into the trace log (Col. 5 lines 39-55 and Col. 8 lines 27-66).

Argawal does not explicitly disclose copying the process identification from the connection object into a transport control block associated with the port. Khanna teaches that it is well known in the art that a process identity related to an established connection can be copied into a transport control block (TCB) (Col. 5 lines 18-43).

It would have been obvious to one of ordinary skill in the art at the time the invention was made to take the method disclosed by Argawal and modify it as indicated by Kanna such that the method further comprises copying the process identification from the connection object into a transport control block associated with the port. Such a modification would allow a simple way to correlate events occurring at the TCP level in relation to stored context information (In Argawal: Col. 8 lines 27-58). One would be motivated to have this, as there is need for the correlation of events at certain transaction levels in providing an analysis of system performance (In Argawal: Col. 8 lines 54-67 and Col. 3 lines 3-9 and Col. 2 lines 46-50).

41. With respect to Claim 8, Argawal in view of Khanna teaches all the limitations of Claim 7 and further teaches copying the process identification from the connection object into the transport control block so that the process identification is contiguous

with the rest of the data in the transport control block (The combination of Argawal and Khanna in the rejection of Claim 7 would provide for such a limitation).

- 42. With respect to Claim 9, Argawal in view of Khanna teaches all the limitations of Claim 8 and further teaches detecting the presence of an input/output request packet indicating that the data receipt is complete (In Argawal: Col. 9 lines 1-25 and Col. 8 lines 3-26); and in response to the detection of the completion input/output request packet, storing in the trace log an entry representing the receipt of the data (In Argawal: Col. 5 lines 39-55 and Col. 8 lines 27-66).
- 43. With respect to Claim 19, Argawal teaches all the limitations of Claim 18 and further teaches having further computer-executable instructions for performing the step of creating a connection object representing the opening of the port connection by the process (Col. 9 lines 1-25 and Col. 8 lines 3-26) and in response to the detection of the receipt of data at the port, copying the process identification into the trace log (Col. 5 lines 39-55 and Col. 8 lines 27-66).

Argawal does not explicitly disclose copying the process identification from the connection object into a transport control block associated with the port. Khanna teaches that it is well known in the art that a process identity related to an established connection can be copied into a transport control block (TCB) (Col. 5 lines 18-43).

It would have been obvious to one of ordinary skill in the art at the time the invention was made to take the computer-readable medium disclosed by Argawal and modify it as indicated by Kanna such that the computer-readable medium further comprises copying the process identification from the connection object into a transport

control block associated with the port. Such a modification would allow a simple way to correlate events occurring at the TCP level in relation to stored context information (In Argawal: Col. 8 lines 27-58). One would be motivated to have this, as there is need for the correlation of events at certain transaction levels in providing an analysis of system performance (In Argawal: Col. 8 lines 54-67 and Col. 3 lines 3-9 and Col. 2 lines 46-50).

44. With respect to Claim 20, Argawal in view of Khanna teaches all the limitations of Claim 19 and further teaches having further computer-executable instructions for performing the step of copying the process identification from the connection object into the transport control block so that the process identification is contiguous with the rest of the data in the transport control block (The combination of Argawal and Khanna in the rejection of Claim 19 would provide for such a limitation).

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to David Lazaro whose telephone number is 571-272-3986. The examiner can normally be reached on 8:30-5:00 M-F.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Saleh Najjar can be reached on 571-272-4006. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

David Lazaro July 29, 2005

> SALEH NAJJAR PRIMARY EXAMINER